

General Volume
Monitoring & Compliance Section

WIC Services to Local WIC Provider Employees and Relatives of Employees (1.07000)

Program Integrity (1.07000)

ER# 1.07000

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POLICY: The Local WIC Provider (LWP) shall ensure a separation of duties and avoid conflict of interests to safeguard against fraud.

The local WIC provider (LWP) shall ensure WIC employees are not providing WIC services to themselves, that program standards are upheld when WIC services are provided to local WIC provider (LWP) employees, their relatives, and/or their close friends.

The LWP shall ensure that during the certification appointment one employee is not determining eligibility for identity, residency, income, and also issuing WIC benefits to that same participant.

Every LWP shall ensure that food instrument accountability functions are appropriately assigned and performed.

PROCEDURES:

A. Providing WIC benefits to a WIC Employee or relatives or close friends of WIC employees.

1. ~~A.~~ The local **WIC provider employee** who is a WIC participant, the relative of a WIC participant or close friend of a WIC participant shall not perform the following functions for themselves, their relatives or their close friends:
 1. ~~a.~~ **Determination of eligibility for the program based on identity, residency, or income assessment.**
 2. ~~b.~~ **Any portion of the health assessment which includes obtaining health/medical history and anthropometric measurements.**
 3. ~~c.~~ **Nutrition education and counseling.**
 3. ~~d.~~ **Food instrument printing or issuance**
 4. ~~e.~~ **Re-evaluation of food packages and/or issuance of supplemental foods.**
 5. ~~f.~~ **Serving as a proxy unless a signed proxy note from the participant or guardian naming the employee as a proxy is on file for the current certification period.**
 - a. ~~A signed proxy note from the participant or guardian naming the employee as a proxy is on file for the current certification period.~~
 - b. ~~Food instruments are printed by another local WIC provider employee.~~

6. Nutrition counseling.

~~B. The local WIC provider must ensure the following are performed in compliance with WIC regulations:~~

- ~~1. Income assessment.~~
- ~~2. Health assessment.~~
- ~~3. Appropriate nutrition education contacts are provided.~~
- ~~4. Food instruments are appropriately issued in regard to the following:
 - ~~a. Food package.~~
 - ~~b. Number of food instruments.~~
 - ~~c. Additional or supplemental food instruments are not issued without documentation from the local WIC provider CPA.~~
 - ~~d. Special food packages are not issued without documentation from the participant's physician, the LWP CPA or state WIC office.~~~~
- ~~5. Issuance of supplemental foods.~~

2. All WIC employees shall notify their WIC Coordinator if they have a relative or a close friend applying to receive, or are receiving WIC benefits.

~~C. The WIC Coordinator shall be notified of any employee or their relatives or employee's close friend (s) being serviced by the local WIC provider WIC program.~~

3. WIC employees and relatives or close friends of WIC employees must receive services during regular clinic hours. The local WIC provider may use their own discretion in determining whether services may be provided during the employee's working hours.

~~D. Services provided to local WIC provider employees who are WIC participants, relatives or close friends of local WIC provider employees must be provided during normal clinic hours. The local WIC provider may use their own discretion in determining whether services may be provided during the employee's working hours~~

4. Schedule WIC appointments for local WIC provider employees, their relatives or their close friends at the time when other local WIC provider employees can perform the participating employee's function.

5. Participant records of local WIC provider employee, their relatives or close friends must be made available to the designated state staff for review in conjunction with a monitoring or consultation visit.

~~B. E. The local WIC provider shall make arrangements that assure compliance with these guidelines: ensure there is a separation of duties during the certification process.~~

- ~~1. Provide cross training to appropriate personnel to allow someone other than participating employee to perform necessary functions.~~
- ~~2. Schedule WIC appointments for local WIC provider employees, their relatives or their close friends at the time when other local WIC provider employees can perform the participating employee's function.~~

1. Ensure that a minimum of two (2) employees are available to perform certification duties to ensure that one employee isn't assessing eligibility for identity, residency and income

and also issuing WIC benefits to that same participant.

Examples:

- a. One employee checks all 3 proofs and another employee prints the checks.
- b. One employee checks two proofs and another employee checks one proof and enters a general note, then either of these two employees' could print checks.

2. ~~F.~~ The LWP shall indicate on the Local Agency Plan if compliance with these guidelines cannot be achieved, and appropriate controls shall be established.

a. Clinics with fewer than (2) WIC staff available to fulfill the separation of duties requirement shall complete the **Separation of Duties Exception Log** biannually. The WIC Coordinator or designated third party reviewer must every June and December review the "Separation of Duties" Crystal report and randomly select ten (10) participant records to review. The log must be completed and signed by the reviewer, stored in a central location and made available during the local agency WIC monitoring.

b. Single staff agencies, with no third party person to review participant records and complete the log, must notify the State TA staff, who will conduct the audit for the LWP.

~~G.C. Participant records of local WIC provider employee, their relatives or close friends must be made available to the designated state staff for review in conjunction with a monitoring or consultation visit.~~